



Attorney Docket No. 15162/3060

DEP & REF
DIVISION
#307

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2004 JUL 26 AM 10:31

Application No.: 09/765,229
Applicant(s): Koujiro SEKINE et al
For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL
INTEGRATED DEVICE
Confirmation No.: 7378
Customer No.: 24367
Docket No.: 15162/03060
Filed: January 18, 2001
Group Art Unit: 2874
Examiner: Michael J. Stahl

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

July 15, 2004

Date of Deposit

Tung T. Nguyen

Name of Applicant, Assignee, or Registered Representative

Signature

July 15, 2004

Date of Signature

REQUEST FOR REFUND

The Applicants in the above-identified patent application hereby request a refund of \$266.00 in connection with this case as the PTO has deducted an erroneous fee regarding this application.

On June 23, 2004, Applicants filed a Petition for Extension of Time, charging the amount of \$110.00 in payment of the required fee to Sidley Austin Brown & Wood's Deposit Account No. 18-1260. A copy of the transmittal letter to the Patent and Trademark Office is attached as Exhibit A. Attached hereto as Exhibit B is a copy of the monthly statement for Deposit Account

DIVISION

No. 18-1260. It is noted on the deposit account statement that on June 30, 2004, the Patent and Trademark Office debited said Deposit Account in the amount of \$110.00 in connection with the serial number of the above-identified application.

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Attached hereto as Exhibit C is a copy of the monthly statement for Deposit Account No. 18-1260. It is noted on the deposit account statement that on July 14, 2004, the Patent and Trademark Office debited said Deposit Account in the amount of \$86.00 and \$180.00 in connection with the serial number of the above-identified application. As of June 23, 2004, no additional documents have been filed regarding this serial number.

It is requested that the Patent and Trademark Office credit Deposit Account No. 18-1260 in the amount of \$266.00, to correct the erroneous debit. Further, it is requested that the Patent and Trademark Office advise the undersigned in writing that such has been carried out.

If, in the resolution of this matter, further documents and/or evidence are required, it is requested that the Patent and Trademark Office personnel either call or write the undersigned.

Respectfully submitted,

By:


Tung T. Nguyen
Registration No. 42,935
Attorney for Applicant

TTN:jds
SIDLEY AUSTIN BROWN & WOOD LLP
717 N. Harwood, Suite 3400
Dallas, Texas 75201
(214) 981-3478 Direct
(214) 981-3300 Main
(214) 981-3400 Facsimile
July 15, 2004

BEST AVAILABLE COPY

DIVISION



RESPONSE TRANSMITTAL AND FEE AUTHORIZATION

ATTORNEY DOCKET No.: 15162/03060		APPLICATION No.: 09/765,229	
FILING DATE: January 18, 2001	CONFIRMATION No.: 7378	CUSTOMER NO.: 24367	EXAMINER: Michael J. Stahl
GROUP ART UNIT 2874			
INVENTOR(S): Koujirou SEKINE et al			
TITLE OF INVENTION: OPTICAL FUNCTIONAL DEVICE AND OPTICAL INTEGRATED DEVICE			

COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

TRANSMITTED HEREWITH FOR THE ABOVE IDENTIFIED
PATENT APPLICATION IS:

- ☒ (A) A response to the Office Action dated: March 3, 2004
- ☒ (B) A Petition for Extension of Time
☒ for 1 month ☐ for 2 months ☐ for 3 months;
 A Petition for Extension of Time, having been previously filed,
☐ for 1 month ☐ for 2 months ☐ for 3 months
- ☐ (C) A Notice of Appeal. \$
- ☐ (D) An Appellant's Brief on Appeal. \$
- ☐ (E) Other: \$
- ☐ (F) A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27
☐ Small entity status under 37 CFR § 1.27 has been previously established
☐ The claims fee, if any, has been calculated as shown below

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

June 23, 2004
Date of Deposit

Douglas A. Sorensen
Name of Applicant, Assignee, or Registered Representative

Signature

June 23, 2004
Date of Signature

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA
TOTAL		MINUS		
INDEP.		MINUS		
FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				

SMALL ENTITY

RATE	ADD'L FEE
x \$9	\$
x \$43	
+ \$145	
TOTAL ADD'L FEE	\$ 0.00

LARGE ENTITY

RATE	ADD'L FEE
x \$18	\$
x \$86	
+ \$290	
TOTAL ADD'L FEE	\$ 0.00

- ☒ Please charge \$110.00 to Sidley Austin Brown & Wood LLP, Deposit Account No. 18-1260, which includes
☐ the amount of \$ for the claims fee calculated above AND/OR
☒ the amount of \$110.00 for the fee for item(s) ☒ (B) ☐ (C) ☐ (D) ☐ (E) ☐ (F)
- ☒ Please charge any additional fees (other than issue fee) required during the pendency of this application to Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.
- ☒ A duplicate copy of this Response Transmittal and Fee Authorization is enclosed.

June 23, 2004
SIDLEY AUSTIN BROWN & WOOD LLP
717 N. Harwood, Suite 3400
Dallas, Texas 75201
Main: (214) 981-3300
Direct: (214) 981-3482
Facsimile: (214) 981-3400

By:
Douglas A. Sorensen
Attorney for Applicants
Registration No. 31,570

DIVISION

07/07 147	10881635	15162/05820	1001	\$770.00	\$13,971.00
07/08 12	PAYMENT		9203	-\$24,645.00	\$38,616.00
07/08 14	10883095	10919-26801	1001	\$770.00	\$37,846.00
07/08 15	10883095	10919-26801	2004 204 26 1001	\$770.00	\$37,244.00
07/08 16	10883095	10919-26801	1202	\$1,170.00	\$36,074.00
07/08 21	10883098	15162/04531	1001	\$770.00	\$35,304.00
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07/08 220	2175098	6	6208	\$200.00	\$34,714.00
07/08 221	1897915	BONH M34279	6205	\$100.00	\$34,614.00
07/08 222	1897915	BONH M34279	6201	\$400.00	\$34,214.00
07/08 223	1895771		6205	\$200.00	\$34,014.00
07/08 224	1895771		6201	\$800.00	\$33,214.00
07/09 49	60585502	10347/31501	1005	\$160.00	\$33,054.00
07/09 55	09669118	15162/02440	1253	\$950.00	\$32,104.00
07/09 56	09669118	15162/02440	1201	\$86.00	\$32,018.00
07/09 57	10112351	15162/04440	1253	\$950.00	\$31,068.00
07/09 62	10072007	10275/03501	1252	\$420.00	\$30,648.00
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07/09 202	10487590	DSC-7B (11677-00811)	8021	\$40.00	\$30,438.00
07/12 31	76200391	18174-06301	7004	\$150.00	\$30,288.00
07/12 98	10881238	10919-26701	8021	\$40.00	\$30,248.00
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07/12 131	10886040	22338-00504	1201	\$688.00	\$28,790.00
07/12 132	10886040	22338-00504	1202	\$252.00	\$28,538.00
07/12 1285	78449194	49721/80040	7001	\$335.00	\$28,203.00
07/13 51	10151342	15162/04530	1501	\$1,330.00	\$26,873.00
07/13 52	10151342	15162/04530	1504	\$300.00	\$26,573.00
07/13 53	10151342	15162/04530	8001	\$15.00	\$26,558.00
07/13 53	10883095	10919-26801	8021	\$40.00	\$26,518.00
07/13 66	6682114	36084/33450	8021	\$40.00	\$26,478.00
07/13 80	78324786	36084/33450	8521	\$40.00	\$26,438.00
07/13 81	78359221	36084/33450	8521	\$40.00	\$26,398.00
07/14 10	09545138	11415/28801	1501	\$1,330.00	\$25,068.00
07/14 11	09545138	11415/28801	8001	\$36.00	\$25,032.00
07/14 11	09765229	15162/03060	1201	\$86.00	\$24,946.00
07/14 12	09765229	15162/03060	1202	\$180.00	\$24,766.00
07/14 51	10127986	05058/74702	1201	\$258.00	\$24,508.00
07/14 371	78450034	25406/90000	7001	\$670.00	\$23,838.00
07/14 397	78450043	25406/90100	7001	\$670.00	\$23,168.00

START SUM OF
BALANCE CHARGES
\$29,347.00 \$232,384.00

SUM OF END
REPLENISH BALANCE
\$226,205.00 \$23,168.00

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2004 JUL 26 10:31

06/23 42	09782706	15162/03270	8001	\$15.00	\$35,749.00
06/23 43	09547274	15162/01820	1501	\$1,330.00	\$34,419.00
06/23 44	09547274	15162/01820	8001	\$15.00	\$34,404.00
06/23 55	10147016	15162/04500	1501	\$1,330.00	\$33,074.00
06/23 56	10147016	15162/04500	1504	\$300.00	\$32,774.00
06/23 57	10147016	15162/04500	8001	\$15.00	\$32,759.00
06/23 99	09639360	05058/11204	1501	\$1,330.00	\$31,429.00
06/23 100	09639360	05058/11204	8001	\$15.00	\$31,414.00
06/23 113	29193976	DSC-11/DIV (11677/01302)	1502	\$480.00	\$30,934.00
06/23 114	29193976	DSC-11/DIV (11677/01302)	8001	\$24.00	\$30,910.00
06/23 159	76598313	10368.30901	6001	\$335.00	\$30,575.00
06/24 23	76454592	11207-6201	6003	\$100.00	\$30,475.00
06/24 36	6710809		1811	\$100.00	\$30,375.00
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06/25 150	US20020107283	(NO MATTER NO.YET)	8008	-\$200.00	\$30,155.00
06/25 151	US20030069306	(NO MATTER NO.YET)	8008	-\$200.00	\$30,355.00
06/25 152	US20030083372	(NO MATTER NO.YET)	8008	-\$200.00	\$30,555.00
06/25 153	US20020156127	(NO MATTER NO.YET)	8008	-\$200.00	\$30,755.00
06/25 154	728976		8011	\$220.00	\$30,535.00
06/25 183	09527368	15162/01600	1202	\$126.00	\$30,409.00
06/25 184	09527368	15162/01600	1801	\$770.00	\$29,639.00
06/28 54	PAYMENT		9203	-\$12,204.00	\$41,843.00
06/28 59	5135051		2553	\$1,610.00	\$40,233.00
06/28 60	5135051		2556	\$65.00	\$40,168.00
06/28 61	6170328		1551	\$910.00	\$39,258.00
06/28 80	5589633		2552	\$1,045.00	\$38,213.00
06/28 130	10874855	15162/05790	1001	\$770.00	\$37,443.00
06/29 1	10275020	15162/04910	1202	\$54.00	\$37,389.00
06/29 236	10876342	15162/05770	1001	\$770.00 ✓	\$36,619.00
06/30 5	10876362		1001	\$770.00	\$35,849.00
06/30 5	10371385 → 18347/20014		2201	\$215.00	\$35,634.00
06/30 5	10302122	15162/04970	1201	\$172.00	\$35,462.00
06/30 6	10371385 → 18347/20014		2202	\$117.00	\$35,345.00
06/30 6	10302122	15162/04970	1202	\$36.00	\$35,309.00
06/30 7	10371385 → 18347/20014		2203	\$145.00	\$35,164.00
06/30 7	76564745 → 02889 SA-04-150 7201		6001	\$1,005.00	\$34,159.00
06/30 41	76597761	16435/12002	6001	\$335.00 ✓	\$33,824.00
06/30 42	76597762	16435/12001	6001	\$335.00 ✓	\$33,489.00
06/30 46	76599348	10368.30801	6001	\$335.00	\$33,154.00
06/30 81	09513391	15162/01580	1501	\$1,330.00 ✓	\$31,824.00
06/30 82	09513391	15162/01580	8001	\$15.00 ✓	\$31,809.00
06/30 117	09765229	15162/03060	1251	\$110.00 ✓	\$31,699.00
06/30 121	10617634	15162/05580	1202	\$90.00 ✓	\$31,609.00
06/30 122	10617634	15162/05580	1201	\$172.00 ✓	\$31,437.00
06/30 123	10617634	15162/05580	1253	\$950.00 ✓	\$30,487.00
06/30 169	10877034	15162/05810	1001	\$770.00 ✓	\$29,717.00
06/30 189	10874855	15162/05790	8021	\$40.00 ✓	\$29,677.00
06/30 220	09615233	15162/02080	1402	\$330.00 ✓	\$29,347.00

EXHIBIT B




IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/765,229
 Applicant(s): Koujiro SEKINE et al
 For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL
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Dear Sir:

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June 23, 2004	Date of Deposit
Douglas A. Sorensen	Name of Applicant, Assignee, or Registered Representative
	Signature
June 23, 2004	Date of Signature

AMENDMENT

This Amendment is filed in response to the Office Action dated March 3, 2004, which provides for a response period ending June 3, 2004.

07/14/2004 TDAWKINS 00000008 181260 09765229

01 EC:1201 86.00 DA
 02 EC:1202 180.00 CR
 A Petition for Extension of Time, to extend the response period for the Office
 Action, for one additional month to July 3, 2004, is being filed concurrently.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 8 of this paper.

Adjustment date: 08/30/2004 EEKUBAY1
 07/14/2004 TDAWKINS 00000008 181260 09765229
 01 FC:1201 86.00 CR
 02 FC:1202 180.00 CR